



REPLY TO  
ATTENTION OF

**DEPARTMENT OF THE ARMY**  
**HEADQUARTERS, US ARMY MEDICAL RESEARCH AND MATERIEL COMMAND**  
**810 SCHREIDER STREET**  
**FORT DETRICK, MARYLAND 21702-5000**

MCMR-AAP-A

14 June 2013

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Assistance Advisory Notice (AAN) 13-01  
Grants Officer's Representative

1. PURPOSE. This AAN establishes the requirements and processes for the nomination and appointment of a Grants Officer's Representative (GOR). It also establishes the requirements for a GOR award file(s).
2. GENERAL. Each assistance agreement must have a GOR appointed who will provide scientific and administrative monitoring of the award. A GOR must be nominated and appointed in accordance with the procedures described below. The GOR is essential to ensure that the recipient is complying with the terms and conditions of the award and that overall performance is satisfactory. The GOR acts as a liaison between the recipient and the Grants Officer, and also as an advisor to the Grants Officer. The GOR duties and limitations of authority are outlined in the GOR appointment.
3. REQUEST FOR APPOINTMENT/NOMINATION PROCESS.
  - a. A request for appointment of a GOR must be submitted by the nominee's supervisor to the Grants Officer prior to award. (See Enclosure 1 and 2, "Request for Appointment of Grants Officer's Representative" template). Enclosure 1 is used when the GOR is to be appointed for a single award. Enclosure 2 is used when the GOR is to be appointed for multiple awards under one or more programs.
  - b. The GOR must be an employee, military or civilian, of the U.S. Government. In no case shall contractor personnel serve as GOR.
  - c. The request must state the nominee's qualifications (background, training, experience, etc.) commensurate with the duties to be delegated. The request must state that the GOR has completed all required training (currently Defense Acquisition University, Continuous Learning Course 106 and Ethics). It must also state that the GOR has submitted the annual Office of Government Ethics Form 450, "Confidential

Financial Disclosure Report,” and that it is on file in the Army Financial Disclosure Management System.

#### 4. APPOINTMENT PROCESS.

a. The nominee must be appointed in writing by the Grants Officer to fulfill the role of a GOR. The Grants Officer will review the request for appointment and determine if the nominee has the qualifications to perform the GOR duties. If the individual is deemed to be qualified, the Grants Officer will appoint the nominee in writing as a GOR. (See Enclosures 3 and 4, “Appointment of Grants Officer's Representative” template). Enclosure 3 is to be used when a GOR is appointed for a single award. Enclosure 4 is to be used when a GOR is appointed for multiple awards under one or more programs.

b. The appointment must:

(1) Specify the extent of the GOR's authority to act on behalf of the Grants Officer;

(2) Identify the limitations on the GOR's authority;

(3) Specify the period covered by the appointment;

(4) State that the authority is not re-delegable;

(5) State the GOR's duties and responsibilities; and

(6) State that the GOR may be personally liable for unauthorized acts.

#### 5. GOR AWARD FILE.

a. The GOR must maintain a file for each award assigned, preferably electronically; however, it may be in hard copy, if necessary. The file must be maintained in the GOR's program office. The file is subject to review on a periodic basis (annually or as determined to be necessary) by the Grants Officer.

b. The attached GOR File Content Checklist provides an overview of the items/documents that may be included in the GOR file; it is not all-inclusive nor will all items shown on the Checklist be applicable to all awards. Good judgment and

MCMR-AAP-A  
SUBJECT: Assistance Advisory Notice (AAN) 13-01  
Grants Officer's Representative

14 June 2013

experience should be exercised. The GOR must use the "GOR File Contents Checklist" for each award assigned. (See Attachment 5, "GOR File Contents Checklist.")

c. All matters pertaining to the award are confidential. Release of any information relative to any aspect of the award to outside parties is subject to prior review and clearance by the Grants Officer.

d. Upon expiration of the award, the GOR must forward the complete file to the Grants Officer, Operations Support Center, Closeout section.

Enclosure 1

*(Program Office Letterhead)*

*(Enter Program Office Symbol)*

*(Enter Date)*

MEMORANDUM FOR Grants Officer, Assistance Agreement Group,  
U.S. Army Medical Research Acquisition Activity, Fort Detrick,  
Maryland 21702-5014

SUBJECT: Request for Appointment of Grants Officer's Representative  
Log or Award Number: \_\_\_\_\_  
Recipient:  
Principal Investigator:  
Project Title:

1. Request that Dr. \_\_\_\_\_ be appointed Grants Officer's Representative (GOR) on the subject award.
2. Dr. \_\_\_\_\_ is... *(provide nominee's background, demonstrating qualifications – education, experience, time/responsibilities in program office, etc.)*.
3. Dr. \_\_\_\_\_ completed Defense Acquisition University Continuous Learning Course 106 on \_\_\_\_\_ and will complete the required refresher training prior to the current certificate expiration date of \_\_\_\_\_. (S)He has also completed the annual Ethics training. (Certificates of Training attached.)
4. Dr. \_\_\_\_\_ has submitted the annual Office of Government Ethics Form 450, "Confidential Financial Disclosure Report," which I have verified is on file in the Army Financial Disclosure Management System.

Supervisor's Name and Signature  
Supervisor's Title

Enclosure 2

*(Program Office Letterhead)*

*(Enter Program Office Symbol)*

*(Enter Date)*

MEMORANDUM FOR Grants Officer, Assistance Agreement Group

SUBJECT: Request for Appointment of Grants Officer's Representative

1. Request that Dr. \_\_\_\_\_ be appointed Grants Officer's Representative (GOR) on awards for the \_\_\_\_\_ Program(s). Attached is a list of the active awards. If additional awards are made under this program(s), the above named individual is hereby nominated as the GOR for those additional awards. This will be documented on the recommended for funding list that will be provided to the Grants Officer.

2. Dr. \_\_\_\_\_ is... *(provide nominee's background demonstrating qualifications – education, experience, time/responsibilities in program office, etc.)*.

3. Dr. \_\_\_\_\_ completed Defense Acquisition University Continuous Learning Course 106 on \_\_\_\_\_ and will complete the required refresher training prior to the current certificate expiration date of \_\_\_\_\_. (S)He has also completed the annual Ethics training. (Certificates of Training attached.)

4. Dr. \_\_\_\_\_ has submitted the annual Office of Government Ethics Form 450, "Confidential Financial Disclosure Report" which I have verified is on file in the Army Financial Disclosure Management System.

Supervisor's Name and Signature  
Supervisor's Title

Enclosure 3



REPLY TO  
ATTENTION OF

DEPARTMENT OF THE ARMY  
US ARMY MEDICAL RESEARCH ACQUISITION ACTIVITY  
820 CHANDLER STREET  
FORT DETRICK MD 21701-5014

(Enter Program Office Symbol)

(Enter Date)

MEMORANDUM FOR Commanding General, (Enter Program Office), ATTN: MCMR-  
\_\_\_\_\_/Dr. \_\_\_\_\_ (Enter Program Office Address)

SUBJECT: Appointment of Grants Officer's Representative  
Log or Award Number:  
Recipient:  
Principal Investigator:  
Project Title:

1. Effective this date, you are hereby appointed the Grants Officer's Representative (GOR) for monitoring technical progress of the subject award. This appointment is contingent upon continued timely completion of required GOR training, currently Defense Acquisition University (DAU) Continuous Learning Course 106 and Ethics, and filing of the annual Office of Government Ethics (OGE) Form 450, "Confidential Financial Disclosure Report," to the Army Financial Disclosure Management System. You are delegated certain award administration functions, but the legal responsibility for the award remains with the Grants Officer.

2. As the GOR, you are a vital component of monitoring the recipient's performance under the award. You will serve as the technical point of contact with the recipient. As such, you must maintain a current and informed cognizance of the progress of the award to assure that the work being performed is consistent with the statement of work.

3. Concurrently, you are expected to advise and assist the Grants Officer in administering the award, as necessary. You must advise the Grants Officer in a timely manner on all matters relating to the recipient's performance, especially work scope or funding issues that arise which may require modifications to the award. Other aspects include, but are not limited to, reviewing reports and other products, coordinating USAMRMC program management decisions as they bear on the award, and assisting with the review of final closing documents.

4. GOR File.

a. As the GOR, you must maintain an award file, preferably electronically; however, the file may be in hard copy, if necessary. The file must be maintained in your program office. The file is subject to review on a periodic basis, annually or as determined to be necessary, by the Grants Officer.

b. The attached GOR File Content Checklist provides an overview of the items/documents that may be included in the GOR file; it is not all-inclusive nor will all

Enclosure 3

MCMR-AAA-\_\_\_\_ (Date)  
SUBJECT: Appointment of Grants Officer's Representative  
Log or Award Number:

items shown on the Checklist be applicable to the award. Good judgment and experience should be exercised.

c. Upon expiration of the award, you must forward the complete file to the Grants Officer, Operations Support Center, Closeout section.

**5. This delegation does not empower you to issue or approve changes or enter into any agreements, award modifications, or any other matters affecting the cost or the terms and conditions of the award. All such authority remains with the Grants Officer. Inquiries concerning these matters which may be received from the recipient must be directed to the Grants Officer or Grants Specialist for appropriate action. All matters pertaining to the award are confidential. Release of any information relative to any aspect of the award to outside parties is subject to prior review and clearance by the Grants Officer. You may be personally liable for unauthorized acts.**

6. This delegation will remain in effect through the life of the award unless revoked in writing by the Grants Officer, you are reassigned to another position, or you are separated from Government service. You must notify the Grants Officer in advance of reassignment or separation to permit timely nomination and appointment of a successor GOR. The GOR file must be turned over to the new GOR.

7. **This delegation of authority may not be re-delegated.** It is understood that the staff of your program office may assist you in the functions described in this memorandum; however, you will remain the single, responsible point of contact appointed as GOR.

8. You are required to acknowledge your acceptance of this appointment by signing and returning the enclosed GOR Acceptance Statement.

Encl

(Grants Officer's name and signature)  
Grants Officer

MCMR-AAP-A  
SUBJECT: Assistance Advisory Notice (AAN) 13-01  
Grants Officer's Representative

14 June 2013

Enclosure 3

MCMR-AAA-\_\_\_\_ (Date)  
SUBJECT: Appointment of Grants Officer's Representative  
Log or Award Number:

GOR ACCEPTANCE STATEMENT:

I have reviewed the contents of the Appointment of Grants Officer's Representative (GOR) memorandum and understand: (1) the authorities of the GOR and Grants Officer; (2) GOR responsibilities; (3) training required; and (4) the requirement for the annual filing of the OGE Form 450. I understand that I cannot give direction to the recipient to make any changes to the requirements of the award.

\_\_\_\_\_  
(Name)  
Grants Officer's Representative

\_\_\_\_\_  
Date

Enclosure 4



DEPARTMENT OF THE ARMY  
US ARMY MEDICAL RESEARCH ACQUISITION ACTIVITY  
820 CHANDLER STREET  
FORT DETRICK MD 21701-5014

(Enter Program Office Symbol)

(Enter Date)

MEMORANDUM FOR Commanding General, (Enter Program Office), ATTN: MCMR-  
\_\_\_\_\_/Dr. \_\_\_\_\_ (Enter Program Office Address)

SUBJECT: Appointment of Grants Officer's Representative

1. Effective this date, you are hereby appointed the Grants Officer's Representative (GOR) for monitoring technical progress of assistance agreements (grants and cooperative agreements) awarded for the following (enter program office) Programs: (list programs). Enclosed is the list of active awards under these programs for which you are appointed. Additional awards made under these programs for which you are appointed will be identified with the recommended for funding lists provided for each program announcement or broad agency announcement. This appointment is contingent upon continued timely completion of required GOR training, currently Defense Acquisition University (DAU) Continuous Learning Course 106 and Ethics, and filing of the annual Office of Government Ethics (OGE) Form 450, "Confidential Financial Disclosure Report," to the Army Financial Disclosure Management System. The GOR is delegated certain award administration functions, but the legal responsibility for the awards remains with the Grants Officer.

2. As the GOR, you are a vital component of monitoring each recipient's performance under each award. You will serve as the technical point of contact with the recipients. As such, you must maintain a current and informed cognizance of the progress of each award to assure that the work being performed is consistent with the statement of work.

3. Concurrently, you are expected to advise and assist the Grants Officer in administering the awards, as necessary. You must advise the Grants Officer in a timely manner on all matters relating to recipients' performance, especially work scope or funding issues that arise which may require modifications to the awards. Other aspects include, but are not limited to, reviewing reports and other products, coordinating USAMRMC program management decisions as they bear on the awards, and assisting with the review of final closing documents.

4. GOR Files.

a. As the GOR, you must maintain a file for each award assigned, preferably electronically; however, files may be in hard copy, if necessary. The files must be maintained in your program office. The files are subject to review on a periodic basis, annually or as determined to be necessary, by the Grants Officer.

SUBJECT: Assistance Advisory Notice (AAN) 13-01  
Grants Officer's Representative

Enclosure 4

SUBJECT: Appointment of Grants Officer's Representative, (list programs)

b. The attached GOR File Content Checklist provides an overview of the items/documents that may be included in the GOR files; it is not all-inclusive nor will all items shown on the Checklist be applicable to all awards. Good judgment and experience should be exercised. You must use the "GOR File Contents Checklist" for each award assigned.

Upon expiration of each award, you must forward the complete file to the Grants Officer, Operations Support Center, Closeout section.

**5. This delegation does not empower you to issue or approve changes or enter into any agreements, award modifications, or any other matters affecting the cost or the terms and conditions of the awards. All such authority remains with the Grants Officer. Inquiries concerning these matters which may be received from recipients must be directed to the Grants Officer or Grants Specialist for appropriate action. All matters pertaining to the awards are confidential. Release of any information relative to any aspect of the awards to outside parties is subject to prior review and clearance by the Grants Officer. You may be personally liable for unauthorized acts.**

6. This delegation will remain in effect through the life of the awards unless revoked in writing by the Grants Officer, you are reassigned to another position, or you are separated from Government service. You must notify the Grants Officer in advance of reassignment or separation to permit timely nomination and appointment of a successor GOR. The GOR files must be turned over to the new GOR.

7. **This delegation of authority may not be re-delegated.** It is understood that the staff of your program office may assist you in the functions described in this memorandum; however, you will remain the single, responsible point of contact appointed as GOR.

8. You are required to acknowledge your acceptance of this appointment by signing and returning the enclosed GOR Acceptance Statement.

Encl

(Grants Officer's name and signature)  
Grants Officer

MCMR-AAP-A  
SUBJECT: Assistance Advisory Notice (AAN) 13-01  
Grants Officer's Representative

14 June 2013

Enclosure 4

SUBJECT: Appointment of Grants Officer's Representative, (list programs)

GOR ACCEPTANCE STATEMENT:

I have reviewed the contents of the Appointment of Grants Officer's Representative (GOR) memorandum and understand: (1) the authorities of the GOR and Grants Officer; (2) GOR responsibilities; (3) training required; and (4) the requirement for the annual filing of the OGE Form 450. I understand that I cannot give direction to any recipient to make any changes to the requirements of any award.

\_\_\_\_\_  
(Name)  
Grants Officer's Representative

\_\_\_\_\_  
Date

Enclosure 5

**GOR File Contents Checklist**

Award Number: \_\_\_\_\_ Grants Specialist: \_\_\_\_\_

Recipient: \_\_\_\_\_

Business Office POC: \_\_\_\_\_ Phone: \_\_\_\_\_

Email: \_\_\_\_\_ Fax: \_\_\_\_\_

PI: \_\_\_\_\_ Phone: \_\_\_\_\_

Email: \_\_\_\_\_ Fax: \_\_\_\_\_

GOR: \_\_\_\_\_ Phone: \_\_\_\_\_

Email: \_\_\_\_\_ Fax: \_\_\_\_\_

	Item/Document	Place an "X" if item included
	Copy of the Appointment of Grants Officer's Representative	
	GOR Training Certificates	
	DAU CLC 106	
	Ethics	
	Refresher Class	
	Refresher Class	
	Research Application	
	Scientific Peer Review Summary Statement	
	SOW (original and revised)	
	Budget (original and revised)	
	Previous/Current/Pending Support for PI and Key Personnel	
	Principal Investigator Assurance	
	Certification of Environmental Compliance	

Enclosure 5

**GOR File Contents Checklist**

Use of Human Subjects Documentation and Approval	
Use of Animal Subjects Documentation and Approval	
Assistance Agreement Award and Supporting Documents	
Modifications and Supporting Documents	
Quarterly Technical Reports	
Year 1 Quarter 1	
Year 1 Quarter 2	
Year 1 Quarter 3	
Year 1 Quarter 4	
Quarterly Quad Charts	
Year 1 Quarter 1	
Year 1 Quarter 2	
Year 1 Quarter 3	
Year 1 Quarter 4	
Annual Technical Reports	
Year 1	
Year 2	
Annual/Final Patent Report(s) (DD Form 882)	
Documentation of Collaboration or Technical Assistance Provided	
Documentation of Monitoring and Inspection, including Site Visits	
Cost Reimbursement Vouchers (SF270)	
Listing of Government Furnished Property	
Listing of Property/Equipment Purchased by Recipient w/Award Funds	
Final Technical Report	
Other Documents	

NOTE: Mark "N/A" if not applicable. Upon expiration of award, forward complete file to the Grants Officer and USAMRAA, Operations Support Center.

MCMR-AAP-A  
SUBJECT: Assistance Advisory Notice (AAN) 13-01  
Grants Officer's Representative

14 June 2013

6. PROPONENT. The proponent for this AAN is the USAMRAA Chief, Policy Branch.

E-Signed by USAMRAA  
Thursday, 13 June, 2013, 10:41:18 



5 Encls

LAMONT G. KAPEC  
Acting Principal Assistant  
Responsible for Contracting